

NOTICES OF SUBSTANTIVE POLICY STATEMENTS

The Administrative Procedure Act requires the publication of substantive policy statements issued by agencies (A.R.S. § 41-1013(B)(14)). Substantive Policy Statements are written expressions which inform the general public of an agency's current approach to, or opinion of, the requirements of the United States or Arizona Constitution, federal or state statute, administrative rule or regulation, or the final judgment of a court of competent jurisdiction, including, where appropriate, the agency's current practice, procedure, or method of action based upon that approach or opinion. A substantive policy statement is advisory only. A substantive policy statement does not include internal procedural documents which only affect the internal procedures of the agency and does not impose additional requirements or penalties on regulated parties, confidential information, or rules adopted in accordance with A.R.S. Title 41, Chapter 6.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**

Document title: Distribution of Identifying Statements and Preliminary Prospectuses
Identification number: Policy Statement No. 9601

2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**

September 17, 1986

3. **Summary of the contents of the substantive policy statement:**

This policy statement clarifies that publication or distribution to the public of identifying statements pursuant to Rule 134, and of preliminary prospectuses pursuant to Rules 430 and 431 of the Securities and Exchange Commission under the Securities Act of 1933, is permitted in Arizona provided an application has been previously filed with the Securities Division. A legend required to appear on every preliminary prospectus is specified in the policy statement.

4. **A statement as to whether the substantive policy statement is a new statement or a revision.**

No response given.

5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**

Name: Lynn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242

6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**

A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**

Document title: Registered Issuers - Reporting Requirements
Identification number: Policy Statement No. 9602

2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**

April 22, 1985

3. **Summary of the contents of the substantive policy statement:**

This policy statement states that all registered issuers must file an annual sales report within 60 days after a registration's expiration date or termination of the offering. The policy statement sets forth the acceptable forms for such reporting.

4. **A statement as to whether the substantive policy statement is a new statement or a revision.**

No response given.

5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**

Name: Lynn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242

Notices of Substantive Policy Statements

6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:

Document title: Applications to Register Convertible Securities, Assessment Options, Warrants, or Other Rights to Subscribe to Securities.

Identification number: Policy Statement No. 9603

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

No date given.

3. Summary of the contents of the substantive policy statement:

This policy statement details Securities Division policy regarding applications to register convertible securities, assessment options, warrants, or other rights to subscribe to securities. It also details the method of fee calculation for such securities.

4. A statement as to whether the substantive policy statement is a new statement or a revision.

No response given.

5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:

Name: Lynn Naefach

Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007

Telephone: (602) 542-4242

6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:

Document title: NASAA Statements of Policy

Identification number: Policy Statement No. 9605

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

November 27, 1994

3. Summary of the contents of the substantive policy statement:

This policy statement affirms that the Securities Division subscribes to statements of policy adopted by the North American Securities Administrators Association, Inc. (NASAA) relating to the registration of securities in Arizona, except where in conflict with a state rule or regulation.

4. A statement as to whether the substantive policy statement is a new statement or a revision.

No response given.

5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:

Name: Lynn Naefach

Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007

Telephone: (602) 542-4242

6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:
Document title: Overview of R14-4-126
Identification number: Policy Statement No. 9606
2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:
Fall 1983
3. Summary of the contents of the substantive policy statement:
This policy statement explains the background and requirements of R14-4-126 regarding private placement exemptions and compares the rule to federal requirements. R14-4-126 was amended effective June 9, 1995, so this policy statement should be read with caution.
4. A statement as to whether the substantive policy statement is a new statement or a revision.
No response given.
5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:
Name: Richard Weinroth
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:
Document title: Sales of Commodities
Identification number: Policy Statement No. 9607
2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:
Fall 1983
3. Summary of the contents of the substantive policy statement:
This policy statement clarifies the jurisdiction of the Commission over sales of commodities. The sales of certain commodities, which do not require delivery to the purchaser within 28 days of the payment of the portion of the purchase price, are defined as securities under Arizona law. Individuals engaging in any form of deferred delivery transactions are invited to discuss the need for registration and the law of this area with the Securities Division. The policy states that, when determining what constitutes a security, the Securities Division views transactions in the context of their economic substance rather than their specific form.
4. A statement as to whether the substantive policy statement is a new statement or a revision.
No response given.
5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:
Name: Lynn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Prohibition of Dual Registration by Salesmen
Identification number: Policy Statement No. 9608
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
Summer 1984
3. **Summary of the contents of the substantive policy statement:**
This policy statement addresses questions concerning Arizona's prohibition against dual registration by securities salesmen pursuant to R14-4-121. The Securities Division interprets "dealer," as used in this rule, to include not only a dealer registered under the Arizona Securities Act but any individual or entity that falls within the definition of a dealer. The fact that the dealer may not be registered as a dealer in Arizona does not preclude the application of R14-4-121. Activities and employment affiliations of salesmen will be examined to ensure compliance with the Arizona dual registration provisions.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Matthew Neubert
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Registration of Dealers Engaging in Exempt Securities and Transactions
Identification number: Policy Statement No. 9609
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
Spring 1985
3. **Summary of the contents of the substantive policy statement:**
This policy statement clarifies when dealer/salesman registration is required of a person engaging in exempt securities transactions. The policy statement explains R14-4-104, which enumerates those exempt securities transactions that require a registered dealer/salesman.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Matthew Neubert
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:
Document title: Zero Coupon Bonds
Identification number: Policy Statement No. 9610
2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:
Spring 1985
3. Summary of the contents of the substantive policy statement:
This policy statement notes that the use of zero coupon bonds as sales incentives may constitute a "sale" within the meaning of the Arizona Securities Act. A merchant who uses zero coupon bonds as a sales incentive may need to be registered as a securities dealer or salesman unless a proper exemption is obtained.
4. A statement as to whether the substantive policy statement is a new statement or a revision.
No response given.
5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:
Name: Matthew Neubert
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:
Document title: Arizona Dealer Instruction Sheet
Identification number: Policy Statement No. 9611
2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:
December 1990
3. Summary of the contents of the substantive policy statement:
This policy statement lists documents which must be provided to the Securities Division to expedite initial registration as a dealer and to maintain an Arizona registration.
4. A statement as to whether the substantive policy statement is a new statement or a revision.
No response given.
5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:
Name: Matthew Neubert
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Clarification of 1985 Amendments to Rules
Identification number: Policy Statement No. 9612
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
Winter 1986
3. **Summary of the contents of the substantive policy statement:**
This policy statement clarifies amendments to R14-4-101 through R14-4-103, as effective July 18, 1985.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Lynn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Supplemental Filing Requirements for Foreign Corporations
Identification number: Policy Statement No. 9613
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
January 23, 1987
3. **Summary of the contents of the substantive policy statement:**
This policy statement formally advises corporations that are organized in a jurisdiction other than Arizona and that plan to transact business in Arizona to comply with A.R.S. § 10-106 et seq. Arizona law requires foreign corporations to file an application for authority with the Corporations Division of the Commission, in addition to any registration requirements of the Arizona Securities Act.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Richard Weinroth
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Inquiries Concerning Pending Registrations and No-action Requests
Identification number: Policy Statement No. 9614
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
September 18, 1991
3. **Summary of the contents of the substantive policy statement:**
This policy statement announces that questions regarding pending securities, broker-dealer, and salesman applications will be accepted between 8 a.m. and 5 p.m. MST. The policy statement also provides that the Securities Division will respond to no-action requests accompanied by the fee set by A.R.S. § 44-1861(L). No-action letter requests are public records and, whether granted or not, may be published at the Securities Division's discretion.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Richard Weinroth
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Dealer Surety Bond Requirements
Identification number: Policy Statement No. 9615
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
January 23, 1987
3. **Summary of the contents of the substantive policy statement:**
This policy statement announces that all dealers, including dealers in their own issue, must file a \$25,000 surety bond prior to the renewal of any registration.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Matthew Neubert
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Form U-1 Registration Applications
Identification number: Policy Statement No. 9616
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
April 3, 1987
3. **Summary of the contents of the substantive policy statement:**
This policy statement states that the Securities Division will require a completed Form U-1 application for any registration by qualification or description, and for any additional or oversale registrations.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Lyn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Advertising Materials
Identification number: Policy Statement No. 9617
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
April 3, 1987
3. **Summary of the contents of the substantive policy statement:**
This policy statement announces that advertising materials submitted for review will not be acknowledged unless the filing is accompanied by a copy of the submission cover letter for date stamping and return, along with a self-addressed stamped envelope. If the Securities Division finds the submitted advertising non-compliant with R14-4-103, a letter will be sent to the issuer within 3 business days of receipt of the materials indicating the areas of such non-compliance. These areas must be corrected before any of the materials may be used in Arizona.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Lynn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:

Document title: Guarantees; Letters of Credit

Identification number: Policy Statement No. 9618

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

January 21, 1991

3. Summary of the contents of the substantive policy statement:

This policy statement states the Securities Division's position regarding a guarantee/letter of credit that is an integral part of an underlying security, that is not separable from the underlying security, and that has no value apart from the underlying security. Such guarantee/letter of credit combined with its underlying security will be considered a single security. No dual filing of registration or exemption materials is necessary.

4. A statement as to whether the substantive policy statement is a new statement or a revision.

No response given.

5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:

Name: Richard Weinroth

Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007

Telephone: (602) 542-4242

6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:

Document title: Interpretation of A.R.S. § 44-1843

Identification number: Policy Statement No. 9619

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

June 27, 1991

3. Summary of the contents of the substantive policy statement:

This policy statement provides an interpretative opinion of statutory amendments to A.R.S. § 44-1843, as effective June 18, 1991. The policy discusses exempt securities fees, the scope of subsection (B) of the statute, the applicability of the fee to shelf registrations, and the circumstances under which an issuer will be deemed to be in compliance with the statute for purposes of relying on the exemption. The statement also elaborates upon subsection (C), which requires an issuer to file reports with the Commission for the public reference room, when the issuer relies on the exemption under subsection (A) and the issuer files reports under Sections 12(g) or 13 of the Securities Exchange Act of 1934.

4. A statement as to whether the substantive policy statement is a new statement or a revision.

No response given.

5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:

Name: Lynn Naefach

Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007

Telephone: (602) 542-4242

6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

A copy of the Policy Statement may be obtained from the Corporation Commission, Securities Division, at a cost of 50¢ per page.

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CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Shelf Registrations
Identification number: Policy Statement No. 9620
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
August 22, 1991
3. **Summary of the contents of the substantive policy statement:**
This policy statement concerns shelf registrations. Effective June 18, 1991, issuers using SEC Rule 415 relating to shelf registrations who desire to register these securities by qualification in Arizona are required to file a single Form U-1 with the Securities Division at the time of filing the initial application with the SEC. The Securities Division's previous policy of requiring a separate registration upon each "takedown" from the "shelf" is rescinded by this announcement.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Lynn Naefach
Address: Corporation Commission
Securities Division
1300 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4242
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Commission's Resolution Regarding Acceptance and Docketing of an Application by a Public Service Corporation
Identification number: Decision No. 50795
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
April 8, 1980
3. **Summary of the contents of the substantive policy statement:**
The Commission adopted a resolution regarding the procedures for acceptance and docketing of an application by public service corporations. The resolution details procedures that will be implemented if incomplete applications are received by the Commission.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-3402
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 50795 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:
Document title: In the Matter of Consideration of the Computer-oriented Cost of Service Information System Funded by Innovative Rates Program Grant Pursuant to the Public Utility Regulatory Policies Act of 1978, PURPA.
Identification number: Decision No. 52814
2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:
February 11, 1982
3. Summary of the contents of the substantive policy statement:
The Commission resolved to use certain elements of PURPA's innovative rates cost of service information system as a standard practice in rate cases whenever possible.
4. A statement as to whether the substantive policy statement is a new statement or a revision.
No response given.
5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:
A copy of Decision No. 52814 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:
Document title: Consideration of an Energy Conservation Policy Requiring Electric and Gas Utilities to Provide Residential Energy Audits to Customers
Identification number: Decision No. 53032
2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:
May 10, 1982
3. Summary of the contents of the substantive policy statement:
The Commission set a hearing date to gather information from affected electric and gas public service corporations about how the corporations would implement the Commission's proposed policy of requiring the corporations to provide residential energy audits to customers. Information about costs of implementation, effects on accounting and ratemaking procedures, and effects on the utilities' general operations were sought.
The hearing was held on June 3, 1982. After the hearing, the Commission declared the subject closed. It was declared closed by Decision No. 55450, which was introduced, passed, and adopted March 4, 1987.
4. A statement as to whether the substantive policy statement is a new statement or a revision.
No response given.
5. The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:
A copy of Decision No. 53032 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

Arizona Administrative Register
Notices of Substantive Policy Statements

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number is referenced:**
Document title: Revisal of 1983 5(a) Certification of the Natural Gas Pipeline Safety Program
Identification number: Decision No. 53463
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
February 16, 1983
3. **Summary of the contents of the substantive policy statement:**
The Commission directed the Utilities Division to assert the state's jurisdiction over master meter operators, recommend rules to govern master meter operators regarding gas pipeline safety, and establish a program for master meter operators to comply with applicable state and federal requirements.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 53463 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number is referenced:**
Document title: Commission Directive Regarding Definition of "Residential Consumer" for Purposes of the Residential Utility Consumer Assessment Prescribed by A.R.S. § 40-401.01.
Identification number: Decision No. 53538
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
April 29, 1983
3. **Summary of the contents of the substantive policy statement:**
The Commission ordered that for purposes of the Residential Utility Consumer Assessment, a covered public service corporation shall consider the term "residential consumer" to be synonymous with the term "residential customers" as presently used by the public service corporations in the filing of their 1982 Annual Reports to the Commission. The Commission further ordered that this definition of "residential consumer" shall be subject to further modification by the Commission with regard to subsequent calendar years.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-3402
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 53538 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

Arizona Administrative Register
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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Commission's Further Consideration of Energy Conservation Policy to Require Gas and Electric Companies to Offer Residential Energy Audits to Customers
Identification number: Decision No. 55450
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
March 4, 1987
3. **Summary of the contents of the substantive policy statement:**
In prior Decision No. 53032, the Commission set a hearing date to gather information from affected electric and gas public service corporations about how the corporations would implement the Commission's proposed policy of requiring the corporations to provide residential energy audits to customers. Information about costs of implementation, effects on accounting and ratemaking procedures, and effects on the utilities' general operations was sought.
The hearing was held on June 3, 1982. After the hearing, on February 11, 1987, the Commission declared the subject moot because no state alternative to the Federal Energy Conservation Plan had been adopted by January 1, 1983. Therefore, Decision No. 55450 closed Decision No. 53032.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 55450 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Review and Processing of Applications for Adjudication Not a Public Service Corporation
Identification number: Decision No. 55568
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
Decision No. 55568 was issued on May 6, 1987, and was passed and adopted on May 7, 1987.
3. **Summary of the contents of the substantive policy statement:**
The Commission determined that the evaluation of applications from companies who wished to be adjudicated "not a public service corporation" needed clarification. The Commission therefore directed the Utilities Division to investigate and review all such applications (following guidelines given in the Decision) and to report to the Commission on its findings.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 55568 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

Arizona Administrative Register
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NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Commission Policy Directive to the Utilities Division on Treatment of Taxes on Contributions in Aid of Construction and Advances for Construction
Identification number: Decision No. 55774
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 21, 1987
3. **Summary of the contents of the substantive policy statement:**
The Commission resolved issues regarding the Tax Reform Act of 1986 effect of a utility's accounting treatments of contributions and advances received through line-extension agreements. The Commission permits utilities to collect such funds subject to certain accounting procedures. The decision states how the Utilities Division will treat such funds in the ratemaking process as well as how such agreements will be monitored.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 55774 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.

NOTICE OF AGENCY SUBSTANTIVE POLICY STATEMENT

CORPORATION COMMISSION

1. **Title of the substantive policy statement and the substantive policy statement number by which the policy statement number by which the policy statement is referenced:**
Document title: Possible Recovery of Costs of Water Conservation Programs
Identification number: Decision No. 57680
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
January 8, 1992
3. **Summary of the contents of the substantive policy statement:**
The Commission asserted that it would consider possible costs of conservation measures in rate proceedings, to encourage water-providing public service corporations to comply with the water management plans adopted by the Department of Water Resources pursuant to A.R.S. §§ 45-564 and 45-565. Recoverability of these costs would depend on specified factors and would be evaluated on a company-specific basis.
4. **A statement as to whether the substantive policy statement is a new statement or a revision.**
No response given.
5. **The name, address, and telephone number of the person to whom questions and comments about the substantive policy statement may be directed:**
Name: Office of Director
Address: Corporation Commission
Utilities Division
1200 West Washington
Phoenix, Arizona 85007
Telephone: (602) 542-4251
6. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
A copy of Decision No. 57680 may be obtained from the Corporation Commission, Docket Control, 1200 West Washington, Phoenix, Arizona 85007, at a cost of 50¢ per page.